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UNCLAS SECTION 01 OF 12 STATE 129010

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E.O. 12958: N/A
TAGS: [AMGT](#) [AFIN](#) [KSPR](#) [ABUD](#) [UN](#)
SUBJECT: FY 2011 MISSION STRATEGIC PLAN (MSP) GUIDANCE FOR IO MISSIONS

FOR COMS, DCMS, MGT COUNSELORS, AND MSP COORDINATORS FROM ACTING IO
ASSISTANT SECRETARY JAMES WARLICK

¶1. TABLE OF CONTENTS

¶2. SUMMARY: The following cable provides consolidated guidance from
Washington to missions for the preparation of FY 2011 Mission
Strategic Plans (MSP). This cable is divided into the following
sections: Regional Bureau Guidance; Bureau of Resource Management
(RM), Office of Strategic and Performance Planning Overview and
Guidance; Functional Bureau Guidance; and Management Bureau Guidance.
 End Summary

BUREAU OF INTERNATIONAL ORGANIZATION AFFAIRS POLICY OVERVIEW AND
GUIDANCE

¶3. Importance of MSPs: In an increasingly challenging budget
environment, it is ever more important that IO and IO missions
demonstrate that we are directing scarce resources to Department
priorities and achieving concrete results. Well-written and
justified MSPs are critically important to IO's strategic planning.
They will become the basis for development of the Bureau Strategic
Plan. More importantly, the MSPs will illustrate IO's formal FY
2011 budget presentation before the Secretary at the Senior Policy,
Performance, and Resource Review and the Department's FY 2011 budget
submission to OMB and Congress. IO's ability to successfully prepare
and defend missions' resource requests throughout subsequent phases
of the budget cycle is greatly dependent upon the strength of
justifications provided in the MSP.

¶4. Vision, Priorities, and Strategy

-- By 2011, we hope for tangible progress toward a world in which
U.S. foreign policy goals are advanced through results-driven,
transparent, accountable, and efficient international organizations.
These goals include speedy and effective UNSC responses to threats
against peace and security; stronger multilateral mechanisms for
counterterrorism, nonproliferation of WMD, democracy promotion, and
respect for human rights, human dignity, and the rule of law;
widespread acceptance at multilateral institutions of the MCC
principles; standard-setting; in technical fields of importance to
the U.S. economy and international cooperation to promote sustainable
economic development, education for all, the cure and prevention of
diseases, and reduction of threats to health; the development of more
efficient frameworks for quick delivery of humanitarian assistance
carefully targeted to those in need; and substantially increased
global recognition of the United States for its leadership and
generosity.

-- We believe that a multilateral approach offers important
opportunities and comparative advantages for advancing U.S. foreign
policy and assistance priorities, including leverage, cost sharing,
access, expertise, and coordination.

-- Each mission should determine its own specific performance goals.
The performance goals your mission includes in its MSP should reflect
the mission's highest priorities. Topics in Paragraphs 4 - 6 should

be addressed in the MSP, either in the COM Statement or in Goal
Papers. Missions should use indicators that demonstrate the
importance of IO missions' work in carrying out the Department's
highest goals.

-- We aim to achieve U.S. goals by shaping the priorities and
direction of international organization programs and activities, and
by working to counteract initiatives not in the interest of the
United States. We use expertise (Washington-, Mission-, Embassy-,
and U.S. delegation-based) to articulate U.S. values and advance U.S.
positions with officials of international organizations and
representatives of other Member States; listen to, inform, and
attempt to persuade foreign publics to influence their governments to
work with us; collaborate with other USG agencies and Department
bureaus in the pursuit of priorities and initiatives; and provide
tactical expertise, budget oversight, institutional focus, conference
management, and delegate administration.

¶5. References: Missions should refer to the following sources when
developing MSPs:

-- FY 2007-2012 State/USAID Strategic Plan (IO Chapter, Pages
56-57): [http://www.state.gov/ s/d/rm/rls/dosstrat/2007/].

-- IO FY 2010 BSP: [http://spp.rm.state.gov/
uploadedFiles/BSP/FY10BSP/IO_FY10BSP(6).doc].

¶6. Considerations

-- Transparent, Accountable, and Outcome-Oriented Organizations,
Programs, and Funds: As the largest financial contributor to the UN
system, the United States Government has a vested interest in
ensuring that UN organizations are transparent and accountable in the
management of resources. Missions should set goals that will make UN
entities more outcome-oriented by linking resource levels to program
performance, ensuring credible and independent oversight, and
fostering a culture of ethical conduct. Please refer to UNTAI
Section on the IO website [http://io.state.gov] for more information.

-- Voting Coincidence Improvement: With the goal of improving the
voting coincidence of Member States with the United States in various
international organizations and bodies, we encourage missions to
consider initiatives to influence voting bloc dynamics (e.g., finding
issue-specific possibilities for engagement with the G-77/NAM or
other blocs, identifying confidence-building measures, developing, or
enhancing alternative coalitions, etc.).

-- American Employment in International Organizations: As part of
our resource management reform efforts, we seek highly qualified
individuals for international organization positions. One aspect of
that effort includes the IO priority of increasing American citizen
employment in international organizations. Where appropriate,
missions should refer to this priority.

-- Furthering U.S. Policies and Highlighting American Leadership and
Generosity in the UN and Other International Organizations through IO
Public Diplomacy (PD): Please see Paragraph 41 for R's guidance
regarding PD. All IO missions should incorporate PD in the MSP.
Chief of Mission Statements should clearly mention how PD efforts
will support USG and mission priorities. Missions should include PD
in each Goal Paper. Any FY 2011 requests for PD funding increases
should be highlighted in the Chief of Mission Statement and justified
in the PD funding requests table, whether or not an optional PD Goal
Paper is prepared. PD funding requests related to major
international conferences should be noted.

¶7. Resources

-- Requests for New Positions: When determining how many new
positions to request in 2011, missions are reminded that IO and its
missions have received virtually no new American Direct Hire
positions for a few years. Missions should consider limiting new
position requests to the two highest priority positions that can be
justified as being required to meet mission goals. New positions/FTE
will be scarce.

-- D and CP (State Operations): Missions should limit D and CP
(State Operations) requests to only the highest priorities. High
priority requests made in previous cycles may be repeated if still
valid.

-- ICASS: Only Geneva should enter ICASS resource requests.

-- Foreign Assistance: UNVIE: Please coordinate with ISN regarding
the NADR account and with INL regarding the INCLE account.

¶8. Digital Photos: IO requests digital photos that support critical
resource requests, illustrate significant accomplishments, or
important activities. IO will use these submissions to make our
case, for example before the Secretary during the Senior Review and
on internet websites. Submissions should be sent to IO-Planning-DL.

¶9. IO Contacts:

-- Please include Susan Poulin (IO/PPC Deputy Director and IO Bureau
Coordinator, 202-647-6888) on all MSP-related e-mails. Please add as
a cc IO-Planning-DL. Doing so will ensure that someone else in
IO/PPC (e.g., Mark Schlachter) will answer your questions in her
absence.

-- UN Reform and UNTAI: Matt Glockner on 202-647-6413.

-- Public Diplomacy: Mark Schlachter on 202-647-6393, Susan Poulin
on 202-647-6888, or Donna Roginski on 202-647-7857.

-- American Citizen Employment in International Organizations:
Lynette Podolsky on 202-647-6396.

-- Human Resources: Carolyn Barnes on 202-647-9459 or Katherine
Munchmeyer on 202-647-8404.

-- Post Management: Lois Price Ascroft (for USUNESCO) on
202-647-5029, Margaret Sula (for USUN Rome) on 202-647-2704, and
Julie Stewart (for Geneva, UNVIE, USUN, USICAO, and USUNEP) on
202-736-7513.

-- D and CP/ICASS Resources: Crissy Somma 202-647-3437 or Susana
Ramirez 202-647-0483.

MSP OVERVIEW AND GUIDANCE

¶10. Planning is critical to implement foreign policy goals, as well

as to ensure accountability to Congress and the American people. The
MSPs will continue to define how mission activities support
overarching USG foreign policy goals.

¶11. MSPs will capture high-level diplomatic and foreign assistance
priorities, resource needs, and performance data. The MSP should be
an interagency, country team effort that will serve as the forward
planning tool for overseas missions. The MSP is the first step in a
robust annual planning and performance evaluation process that
contributes to the Department's results-oriented performance efforts.
 For this cycle, the MSPs will inform the FY 2011 State Operations
and Foreign Operations budget requests, including mission-specific
increases/decreases in U.S. Direct Hire positions.

¶12. The web-based MSP application allows direct input and submission
of all narrative and resource information. Mission personnel will
obtain access to the MSP application from their mission's designated
MSP Coordinator. The MSP Coordinator will ensure that all sections
of the plan are properly completed before the MSP is formally
submitted to Washington. Software user instructions will be
available on the MSP website which is found at
http://spp.rm.state.gov/spp800X600template.cf m?id=8. MSP Coordinator
instructions on granting MSP user access will be sent several weeks
before the MSP launch in early December 2008. The MSPs will be due
to Washington in early February 2, 2009. To keep the MSPs concise,
fixed text limits have been established for each of the narrative and
resource request justification sections. A 24/7 help desk service
will be provided during the peak MSP drafting and submission period.

¶13. There are several notable modifications to the MSP for FY 2011:

-- Strategic Goal Allocation - The allocation of U.S. Direct-Hire
Time by strategic goal has been eliminated.

-- U.S. Direct-Hire Human Resource Requests - Missions will enter
position support costs for individual requests in the Human Resources
request screen.

-- Performance Results - Missions will enter performance results
relative to the FY 2008 performance targets.

-- Previous Year Chief of Mission Statement and Foreign Assistance
Priorities Narrative Pre-populated - Missions have the ability to
pre-populate the FY 2011 MSP application with the previous year's
Chief of Mission Statement and Foreign Assistance Priorities
Narrative.

-- Foreign Assistance Requests - Funding requests will be collected
only at the area level except for the Investing in People objective.
For this objective only, Missions will enter Foreign Assistance
request levels at the element level.

-- Summary of Foreign Assistance Request - A revised Foreign
Assistance Summary table will replace the one-page summary of the
Foreign Assistance Resource Request.

-- The Bureau of Democracy, Human Rights and Labor Democracy
Strategies Requirement - All posts in non-democratic and democratic
transition countries are required to incorporate their ADVA democracy
strategy into their MSP. This replaces last year's requirement for a
stand alone ADVA democracy strategy paper.

¶14. Global Partnership Clearinghouse: The Global Partnership Center
(GPC) leads efforts to promote the use of public-private partnerships

(PPPs) to advance U.S. international affairs objectives. The GPC is a
resource to assist Mission and Bureau efforts to engage
collaboratively the private sector, foundations, civil society, and
others through partnerships. Created by the GPC, the Global
Partnership Clearinghouse, is the first-ever database of PPPs engaged
under Chief of Mission authority. The Clearinghouse was launched for
the first time in association with the FY 2010 MSP and BSP processes
and, thanks to the strong support from Mission coordinators, captured
information on more than 640 PPPs. Again this year, in association
with the FY 2011 MSP process, the GPC will gather information on

existing and planned multi-sector partnerships in which post is
engaged under Chief of Mission authority. The Clearinghouse gathers
PPP information through a custom, online application and can be
accessed via the same webpage as the MSP application. Additional
information regarding the Global Partnership Center will be posted at
[http://gpc.state.gov/]. Please direct any questions regarding the
Clearinghouse to [GPC@State.gov]. Clearinghouse data is available to
assist Missions and may also be requested by email to
[GPC@State.gov].

MSP SECTIONS AND RESOURCE REQUEST GUIDANCE

¶15. The MSP contains the following sections: Chief of Mission
Statement; Foreign Assistance Priorities; Goal Papers; U.S. Direct
Hire Requests; State Operations Resource Requests; and Foreign
Assistance Resource Requests.

¶16. Chief of Mission (COM) Statement: The COM Statement should
focus on the mission's most important foreign policy priorities for
the planning period, FY 2009-2011, and should serve as the MSP's
Executive Summary. The COM Statement should reference the highest
priority resource requests for FY 2011 (Foreign Assistance, State
Operations, and U.S. Direct Hires) and justify why and how these
requests are critical to achieving mission and bureau goals. Past
accomplishments should be included only if they set the strategic
context for future mission goals and resource needs. The COM
Statement can include information such as historical factors if
relevant to current foreign policy goals, and should provide a
summary of USG presence and any projected staffing changes for all
agencies under Chief of Mission authority. The COM Statement is
limited to four pages.

¶17. Foreign Assistance Priorities: This narrative section should be
completed only by missions requesting FY 2011 Foreign Assistance
funding. It should complement the COM Statement by providing more
specific details on the mission's Foreign Assistance priorities
within the context of the overall mission goals outlined in the COM
Statement, and justifying why and how the requests in the Foreign
Assistance Resource Request Table are critical to achieving the
mission's goals. The foreign assistance narrative also must be
consistent with the mission's democracy strategy as described in the
COM statement and the GJD Goal Paper and note how U.S. democracy
assistance complements, supplements, or differs from other bilateral
or multilateral assistance. Providing specific examples of how
program performance has influenced the request is encouraged.
Discussion of priorities should be organized by the Foreign
Assistance Framework's five strategic objectives (Peace and Security,
Governing Justly and Democratically, Investing in People, Economic
Growth, and Humanitarian Assistance). There is no specific format
required beyond the general organization noted above, though it is
limited to three pages.

¶18. Goal Papers: Missions may write up to a total of seven goal
papers and will be able to utilize goal papers carried over from the
FY 2010 MSP or create entirely new ones. The key components of the
Goal Papers are as follows:

-- Goal Title: Missions should craft their own customized,
mission-oriented goal statements. The Goal Title can be broad or
specific, but should focus on the mission's most important USG
foreign policy priorities. The Goal Title is limited to one line of
text and will populate the Table of Contents.

-- Goal Description: After defining a goal, missions should enter a
more detailed goal description, outlining why achieving the goal is
important to the U.S. and how the mission will accomplish this goal
(i.e., what strategies will various mission elements pursue to
achieve the desired results). Missions may wish to discuss other
related activities such as: how they work with foreign partners,
regional or international organizations, and NGOs; the long-term
nature of the goal; external factors that could influence achieving
the goal; etc.

-- Department Goal Linkage: Missions will link each customized goal
to up to three State/USAID Strategic Goals through a drop-down menu.
Missions may link their goal to any of the State/USAID Strategic
Goals as outlined in the FY 2007-2012 Department of State and USAID
Strategic Plan.

-- USG Agencies: From a drop-down field, missions will select key USG agencies that have a role in helping to accomplish the customized mission goal.

-- Performance Indicator(s): For each customized goal, missions are required to include only one performance indicator, with an option for a second. Indicators should focus on the accomplishment of the mission's high-level foreign policy goals, and not solely on assistance. Missions are encouraged (although not required) to include quantifiable and outcome-oriented indicators whenever possible. Missions may include a mix of indicators that are within the mission's control and those more contextual in nature, such as the Freedom House Index. However, indicators are most useful when they can be linked to either existing or proposed resource requests. Missions are encouraged to continue to use priority indicators from last year's MSP. Performance indicator captions are limited to three lines of text and should be phrased as neutral measures, not as outcomes, e.g., number of international treaties and domestic initiatives implemented in support of USG global climate change policy objectives. Additional Foreign Operations performance data will also be collected separately. Details to follow.

-- Performance Targets and Results: Missions will set performance targets for FY 2009, FY 2010, and FY 2011 for each performance indicator. If a mission utilizes previous MSP indicators, they should include the previous FY 2008 target and a FY 2008 result. Performance targets and results are limited to eight lines of text each. In an effort to clarify mission performance RM/SPP has created a dropdown menu in the MSP application where missions will enter a performance rating relative to the FY 2008 performance indicator target. The FY 2008 result is considered "on target" only when the target was reached exactly as stated or "above target" if exceeded. Results which are lower than the target, but improved over prior year's performance should be labeled as "improved over prior, but not met." Results that do not meet target and do not improve over prior year, should be labeled as "below target." Finally, data that is not available at the time of publication of the report, e.g., collected later in the year or every other year or a new measure is created, should be labeled "data not yet available."

¶19. RESOURCE TABLES. Included within the resource tables are the following: U.S. Direct Hire Requests, State Operations Resource Requests, and Foreign Assistance Resource Requests. Funding increase requests should be focused on highest priority, critical areas and be supported by sufficient justification that can be reviewed for potential support by senior Department management.

¶20. U.S. Direct Hire Requests: Missions will include position information and succinct justifications for each FY 2011 State-funded position request. Justifications will be limited to ten lines. U.S. personnel requested for other U.S. agencies are also included in this table; however, one justification is entered at the agency-level rather than for each requested position. The most important staffing needs should also be highlighted in the COM statement and linked to critical mission priorities or operational requirements.

¶21. Missions will enter position support costs for individual requests in the Human Resources request screen. Use the following guidelines to determine the position support costs for new USDH human resource requests:

¶22. Position Support Costs (not including OBO and DS Position Support Costs)

-- Recurring Cost - non-salary and benefits position support costs (not including OBO and DS Position Support Costs) that are incurred repeatedly; for example, educational allowances and field travel.

-- Non-Recurring Cost - non-salary and benefits position support costs (not including OBO and DS Position Support Costs) that are unlikely to occur again in the normal course of business; for example, new office furniture, fixtures and equipment and make ready/move-in expenses.

¶23. OBO Position Support Costs

-- Recurring OBO Costs - non-salary position support costs that are incurred repeatedly; for example, residential leases.

-- Non-Recurring OBO Costs - non-salary position support costs that are unlikely to occur again in the normal course of business; for example, generators for a new residence.

¶24. DS Position Support Costs

-- Recurring DS Costs- Non-salary position support costs that are incurred repeatedly; for example, allowances, residential guards, mobile patrols, ICASS costs, utilities, etc.

-- Non-Recurring DS Costs - non-salary position support costs that are unlikely to occur again in the normal course of business; for example residential security upgrades for a new residence, furniture, furnishings, and equipment purchases. (Note that funding for a replacement life cycle would need to be established for certain large equipment purchases such as vehicles.)

¶25. Missions will also be asked to determine a "responsible bureau"

for each new USDH position request. The "responsible bureau" is the bureau responsible for deciding if that position should be created and requested in the CBJ. Funding is considered separately in different fields. The responsible bureau field will be edited in Washington in the event that a correction must be made.

¶26. The U.S. Direct Hire Request section will display previous year MSP State position requests and the regional bureau's decisions during the Bureau Strategic Planning process to approve or deny the request. If previous requests were not included in the FY 2009 or FY 2010 budget submissions, posts may resubmit them as FY 2011 requests. As in previous years, FY 2011 position requests will be reviewed by regional bureau EX offices prior to transmittal to HR and RM/BP. A summary FY 2011 U.S. Direct Hire Requests table will be included in the submitted MSP.

¶27. Human Resources Summary: The human resources summary table is organized by section (e.g., POL, ECON, MGMT). Other agency USG positions are not required though they will appear in the summary printed table. The total number of FY 2009 FTEs by section will be pre-populated into the MSP from HR's PASS Post Personnel (PS) system. Use of Post Personnel source data will ensure consistent position counts, eliminate the need for posts to maintain separate data, and be consistent with the policy mandate that the PS application be the Gold Standard for reporting overseas positions. Any inconsistencies in HR numbers should be corrected directly in the PS system. Direct inquiries to [PassHelpDeskMail@state.gov] or 202-647-7760.

¶28. State Operations Resource Requests: This section includes separate account tables for FY 2011 Program, ICASS, and PD, and Fee-Funded (position support costs only) increases/decreases. Missions will request FY 2011 account increases/decreases by funding category. Missions will include one total funding request and combined justification for each category by account.

¶29. At the end of each account table, missions can discuss FY 2011 resource priorities in a short narrative section. The priority statement will inform regional bureau decision-making process. A summary FY 2011 State Operations Resource Requests table will be included in the printed MSP.

¶30. Use the following guidelines to determine changes to state operations funding (missions will enter position support costs for individual requests in the Human Resources request screen):

-- LES (Salary and Benefits) - Recurring Cost - specific salary, benefits, and new support costs of NEW locally engaged staff request(s) and FY 2011 LES wage increase(s). Narrative justification should provide a specific basis for the request; indicate the need that will be addressed with the funding; and specify position(s) by

grade and a breakdown of the total cost for EACH position.

-- Furniture and Equipment - Non-Recurring Cost - funding for the purchase of new furniture and office equipment for existing employees. Furniture and equipment costs for new positions are defined in the Position Support Costs funding categories. Narrative justification should provide a basis for the request; indicate the need that will be addressed with the funding; and a breakdown of the total cost for each major item(s).

-- Other-Recurring Cost - all recurring State Operations INCREASES that are not covered in other State Operations funding categories. Narrative justification should provide a basis for the request; indicate the need that will be addressed with the funding; and a breakdown of the total cost for each item(s).

-- Other-Non-recurring Cost - all non-recurring State Operations INCREASES that are not covered in other State Operations funding categories. Narrative justification should provide a basis for the request; indicate the need that will be addressed with the funding; and a breakdown of the total cost for each major item(s).

-- Vehicles -Non Recurring Cost (ICASS only) - funding for the purchase of any new vehicles for existing employees. Narrative justification should indicate the need that will be addressed with the new vehicle(s).

¶31. Within the MSP software application, missions can view the FY 2010 MSP requests and bureau decisions. Missions should consult with their bureaus on whether these positions have been incorporated into subsequent FY 2009-2010 budget requests, and may choose to re-request a category item requested, but not granted previously and should re-enter this information as a new FY 2011 request.

¶32. Classification and Distribution: MSPs are considered internal deliberative documents, classified as Sensitive But Unclassified, and will not be distributed beyond agencies represented at the mission. The Chief of Mission Statement is the definitive strategy document for the mission and may receive wider internal distribution than the other MSP components.

FUNCTIONAL BUREAU GUIDANCE:

¶33. BUREAU OF DEMOCRACY, HUMAN RIGHTS, AND LABOR: DRL requests that, where appropriate, GJD goal papers focus on ways to encourage support for human rights, labor, and democracy initiatives in the UN system and throughout the world. DRL requests that GJD goal papers focus on the four core elements of the F Foreign Assistance Framework for this objective: Rule of Law and Human Rights, Good Governance, Political Competition and Consensus-Building, and Civil Society (for definitions, see [http://www.state.gov/f/c24132.htm)].

¶34. BUREAU OF ECONOMIC, ENERGY, AND BUSINESS AFFAIRS (EEB): EEB encourages Missions to integrate economic goals into the MSP process. EEB's FY 2010 Bureau Strategic Plan lays out EEB's goals and policy tool indicators for advancing economic prosperity and security, combating terrorism, and contributing to homeland security. Posts should highlight important work on setting priorities and standards that reflect USG goals at international organizations on a range of issues, such as market-opening agreements, energy security, information and communications technology penetration rates, food security, international transportation concerns, anti-corruption efforts, intellectual property rights issues, and effective poverty-reduction programs. Indicators to consider include the acreage of biotech crops under cultivation and the status of emergency oil stockpiles. Questions related to EBB guidance can be directed to Lillian Wasvary [WasvaryLG@state.gov]. Additional information can be found on our website, [www.state.gov/e/eeb].

¶35. OFFICE OF INTERNATIONAL WOMEN'S ISSUES (G/IWI): MSPs should consider the integration of women's rights issues into all aspects of U.S. foreign policy. In 2008, G/IWI worked to raise awareness within the foreign policy community of global issues affecting women, including political and economic empowerment, forced/child marriage,

women's property rights, violence against women, and the role of
women in peace-building and post-conflict reconstruction. We
encourage missions to develop programs and strategies that strengthen
women's political, economic, and social equality. Our office is
available to all posts as a resource and advocate on international
women's issues can be reached at (202) 312-9664; and our website is:
[www.state.gov/g/wi].

¶36. OFFICE TO MONITOR AND COMBAT TRAFFICKING IN PERSONS (G/TIP): As
you prepare your FY 2011 MSP please note that Trafficking in Persons
issues are covered in the Department's Strategic Goals under
Achieving Peace and Security. Goal papers with performance
indicators related to Trafficking in Persons issues should be linked
to this strategic goal. Inclusion of the anti-trafficking indicators
reflects the Department's commitment to promote and support efforts
to eradicate modern-day slavery as part of its foreign policy
priorities. Goal papers should reflect diplomatic and programmatic
efforts to assist governments in improving their anti-trafficking
efforts according to relevant international treaties, particularly in
the law enforcement and judicial efforts to arrest, prosecute,
convict and sentence traffickers, as well as enhancing the capacity
of service providers to assist victims, and identifying ways to
prevent victimization. Please contact Paula Goode at
goodepr@state.gov with any questions. Information on trafficking in
persons is available at [www.state.gov/g/tip/].

¶37. BUREAU OF INTERNATIONAL NARCOTICS AND LAW ENFORCEMENT AFFAIRS
(INL): This guidance is for officers at posts implementing programs
with International Narcotics Control and Law Enforcement (INCLE)
funds. Within the strategic framework established by the Director of
Foreign Assistance (F), INCLE funded programs contribute towards the
objectives of Peace and Security, and Governing Justly and
Democratically. Most INCLE Peace and Security programs fall within
the following F program areas: Stabilization Operations and Security
Sector Reform, Counter-Narcotics, and Transnational Crime. Most
Governing Justly and Democratically programs fall within the Rule of
Law and Human Rights program area.

¶38. INL requests that posts use the Foreign Assistance Priorities
section of the MSP to discuss on-going INCLE programs. If the MSP
includes an increased funding request for a new or significantly
expanded program, please include this request in the Foreign
Assistance Priorities section and in the Foreign Assistance resource
tables, as appropriate. Include requested staff increases for full
time Narcotics Affairs Officers or Law Enforcement Affairs
Coordinators in the Foreign Assistance Priorities section and in the
Foreign Assistance resource tables; these staff positions are not
funded through State Operations and must be accounted for through the
Foreign Assistance resource requests. If the requested increase in
funding is substantial, please elevate its discussion to a Goal
Paper. Please send questions to Keira Goldstein
(goldsteinka@state.gov) or Larry Bird [birdlf@state.gov].

¶39. BUREAU OF INTERNATIONAL SECURITY AND NONPROLIFERATION (ISN):
ISN's work to combat the proliferation of weapons of mass destruction
(WMD) and the threat of WMD terrorism requires close cooperation with
the UN, the IAEA, and the CTBTO. We also support permanent
delegations to UNVIE, the Conference on Disarmament in Geneva, and
the Organization for the Prohibition of Chemical Weapons in The
Hague, and depend heavily on U.S. Mission to the UN (USUN) and Geneva
for support of TDY delegations. These delegations should work with
ISN officers as appropriate in preparing MSPs to ensure consistency

regarding goals and targets. We rely especially on USUN's and
UNVIE's support of: implementation of Iran and North Korean UN
Security Council resolutions, implementation of USNCR 1540,
proliferation finance, strengthening the NPT and IAEA safeguards, and
promotion of peaceful nuclear energy consistent with strict
nonproliferation standards. For assistance on USUN First Committee
issues, please contact Alex Liebowitz at [LiebowAl@state.gov]; for
assistance on UNSCR 1540 issues, please contact Tom Wuchte at
[WuchteTA@state.gov]; for assistance on IAEA issues, please contact
Scott Davis at DavisMS@state.gov or Rob Cockerham at
[CockerhamRS@state.gov], and for assistance on CTBT/IMS issues please
contact Terrill Ray at [RayTe@state.gov].

¶40. BUREAU OF OCEANS, AND INTERNATIONAL ENVIRONMENT AND SCIENTIFIC AFFAIRS (OES): OES encourages all Environment, Science, Technology and Health (ESTH) officers and Environmental Hub officers in the field to participate actively in the MSP development process. While much of ESTH work is centered in Investing in People (health, including water) and Economic Growth (Environment Program Area, and Infrastructure/Modern Energy Services), it can also reinforce our efforts at Peace and Security, Governing Justly, and Humanitarian Assistance by promoting sustainable economies while reinforcing rule of law and transparent democratic institutions in key sectors. Accordingly, Posts are encouraged to look to the ESTH officers, Hub officers, and OES for assistance in identifying mission priorities and programs in the ESTH field that support the Post's strategic vision and priorities. Top OES priorities include:

-- Advancing the U.S. agenda on climate change
-- Interactions with China across a range of issues, from natural resource protection to energy and climate to science and technology
-- Pollution abatement
-- Promoting the sustainable use of renewable natural resources, including forests, wildlife, and marine resources
-- Improving access to safe water and sanitation services
-- International cooperation with respect to the Arctic
-- Preparing for the challenges posed by polio, malaria and other infectious diseases, and
-- Compliance with the environmental aspects of trade agreements

¶41. PUBLIC DIPLOMACY (PD): Posts are encouraged to submit a separate PD paper and urged to ensure that PD is fully reflected in all goal papers. Given the crosscutting nature of public diplomacy, it is important to include a discussion of it in the COM statement. For Public Diplomacy MSP Goal Papers, posts should use indicators that appear on the list of Office of Management and Budget (OMB) approved PD performance indicators and reflect PD's adherence to federal government mandates. A link to the PD indicators can be found on the MSP Policy Guidance page under the heading Useful Documents. Our core list of indicators 15 for PD and 8 for IIP is meant to ease the burden of writing and/or identifying acceptable performance indicators for goal papers. Use of the core PD indicators helps us in our engagement with OMB, GAO, and Congress. Please contact Cherreka Montgomery [montgomeryce@state.gov] with any questions concerning public diplomacy indicators and goal papers.

¶42. BUREAU OF POPULATION, REFUGEES, AND MIGRATION (PRM): Humanitarian assistance is a relevant objective for posts in countries: (1) hosting refugees, internally displaced persons (IDPs), stateless populations, vulnerable migrants, and/or victims of trafficking; (2) receiving refugee returnees; (3) experiencing or at risk of humanitarian crisis; (4) developing migration management systems; or (5) providing significant donor support to international humanitarian organizations. The Bureau of Population, Refugees, and Migration (PRM) serves as a resource to Posts on any of these issues; please see detailed MSP guidance at [http://prm.state.gov]. Please contact Deborah Hooker at [HookerDJ@state.gov] or (202) 663-1042.

¶43. PRM funding includes the Migration and Refugee Assistance (MRA) and Emergency Refugee and Migration Assistance (ERMA) accounts, located under the Global/Functional category of the Foreign Assistance Framework, including the following program areas: Protection, Assistance and Solutions and Migration Management. These funds are programmed by PRM and covered in PRM's Bureau Strategic Plan. Although neither MRA nor ERMA is available for programming directly by posts, and although MSPs should not include requests for these funds, the humanitarian issues/objectives should be referenced in MSPs. If there are key humanitarian assistance needs relating to refugees, IDPs, or other conflict victims that could benefit from other funding sources available to post, posts should include these in their budget requests. Information provided by posts informs funding decisions made in Washington. PRM's detailed MSP guidance (see [http://prm.state.gov] defines humanitarian programs and relevant indicators.

¶44. OFFICE OF THE COORDINATOR FOR RECONSTRUCTION AND STABILIZATION (..S/CRS): Posts should consider conflict issues in developing goal papers and relevant indicators for the MSP. For more information from S/CRS, please contact [s/crs_rmo@state.gov]. Information is also available from [http://www.crs.state.gov].

¶45. OFFICE OF THE COORDINATOR FOR COUNTERTERRORISM (S/CT): Missions
are encouraged to consider including goals and objectives, where

appropriate, related to pursuing U.S. counterterrorism strategies
through regional and international organizations and training
centers. Questions should be directed to Dan Rosen
[RosenDA@state.gov].

¶46. OFFICE OF THE GLOBAL AIDS COORDINATOR (S/GAC): Where
appropriate, missions accredited to international organizations are
encouraged to consider including goals or objectives related to
HIV/AIDS. For example, a goal paper or objectives could reference
critical interventions in prevention, treatment, and care. Any
HIV/AIDS indicators included should be consistent with President's
Emergency Plan for AIDS Relief (PEPFAR)-approved indicators. If
missions have further questions on this guidance, please contact Sara
Allinder [AllinderSM@state.gov] or Karin Fenn [FennKM@state.gov].

¶47. BUREAU OF VERIFICATION, COMPLIANCE, AND IMPLEMENTATION (VCI):
In support of the Department's efforts to achieve global peace and
security, it is essential that verification requirements and
capabilities are fully considered and appropriately integrated
throughout the development, negotiation, and implementation of arms
control, nonproliferation, and disarmament agreements and
commitments. Compliance with these commitments must then be assessed
and enforced on an ongoing basis. By securing the global community's
acceptance of and active participation in verification and compliance
regimes, we bolster the U.S. foreign policy agenda and enhance the
credibility of treaties and agreements as effective instruments of
international security. Urging governments and international
organizations to acquire relevant information and data necessary for
compliance assessments and to encourage enforcement of States
Parties' compliance with their arms control, nonproliferation, and
disarmament agreements and commitments is part of an ongoing process
requiring active Department leadership within the U.S. national
security structure here and by our diplomatic missions abroad.
(VCI/FO Coordinator, Janey Wright, at [WrightJF@state.gov].

¶48. Please include, as appropriate, the following objectives and
activities as you develop your Mission Strategic Plan.

-- Engage in active diplomacy, bilaterally, at international
organizations, and at multilateral conferences to strengthen
international understanding of the need for full compliance with arms
control, nonproliferation, and disarmament obligations and
commitments, as well as the need for a robust international response
to noncompliance.

-- Reference the findings of the President's "Report on Adherence to
and Compliance with Arms Control, Nonproliferation, and Disarmament
Agreements and Commitments"
[http://www.state.gov/t/vci/rls/rpt/c9721] when planning for actions
related to specific compliance issues involving host governments and
seek cooperation with host governments to address countries of
concern. (For details, contact Tim MacGregor, VCI Senior Advisor for
Compliance, at [MacGregorTS@state.gov].

-- Bolster support for enforcing compliance with nonproliferation
treaties and commitments through physical interdiction and political
and economic sanctions, where appropriate, (includes sanctions
determinations pursuant to the semi-annual Iran, North Korea, Syria
Nonproliferation Act); and urge host governments to enhance domestic
laws and regulations to stem proliferation. (For details, contact
Stephen Tomchik, Senior Advisor for Sanctions, at
[TomchikSJ@state.gov].

-- Support improved responses to potential biological weapons
incidents in order to deter attacks and enhance U.S. ability to make
compliance and attribution determinations. Promote compliance with
the Biological Weapons Convention (BWC) and with efforts to ensure
regional and universal compliance with the Convention. (For details,
contact Brian Nordmann, VCI/BW Director, at [NordmaBR@state.gov.]

-- Promote compliance with the Chemical Weapons Convention (CWC) and

work with the Organization for the Prohibition of Chemical Weapons to ensure that the verification regime remains viable and continues to keep pace with changes in the chemical industry and technological advances; support assessment of the robustness of the CWC inspection regime to ensure effective verification of declared military and industrial facilities. (For details, contact Johnathan Beckett, VCI/CCA Deputy Director for CW, at [BecketJo@state.gov].

MANAGEMENT BUREAU GUIDANCE

¶49. FOREIGN SERVICE INSTITUTE (FSI): As part of their strategic planning discussions, posts are asked, to consider training as a key element in the development and management of their human resources; and when proposing new or expanded activities that may involve a training component to factor in or note, when applicable, the impact to centralized training and post assignment travel resources that are overseen by FSI and HR respectively.

¶50. BUREAU OF DIPLOMATIC SECURITY (DS): DS is initiating coordination with all posts through a separate communication to RSOs to identify post's security-related requests and to integrate those requests into the DS strategic planning process and Congressional

Budget Justification input. Post management should also consider security costs associated with new activities, policies, or programs and discuss them with their RSO for onward submission to DS in Washington.   For the purpose of the MSP, posts should highlight those security issues which significantly impact their ability to achieve their strategic goals. These security requirements should be reflected, as appropriate, in the COM statement and the resource and position request tables.

¶51. OFFICE OF POLICY, RIGHTSIZING, AND INNOVATION (M/PRI):   The MSP is an excellent vehicle for COMs and their country teams to examine their operations in the context of rightsizing and quality management goals. Rightsizing: Duplicative functions at post should be consolidated. Functions that can be performed by personnel based in the United States or at regional offices overseas should not be performed at post. Posts should look for possibilities to empower locally employed staff so they may perform functions in place of U.S. direct hire personnel. In your reviews, should you find staffing to be either excessive or inadequate to the performance of priority Mission goals and objectives, please initiate staffing change requests in accordance with established procedures. It is vitally important that all elements and agencies in the mission participate in the preparation of the MSP. A review of new non-State overseas positions requested through the NSDD-38 process has found that only a small percentage of them had been included in those missions' MSP submissions, suggesting that there needs to be better integration of all agencies' plans in the MSP process.

OFFICE OF THE DIRECTOR OF U.S. FOREIGN ASSISTANCE GUIDANCE:

¶52. This section provides details about the requirements and information needed for field-based operating units with foreign assistance (FA) funding to prepare their FY 2011 foreign assistance resource requests. It contains important changes to the FA resource request process, particularly regarding budget preparation and submissions for regional platforms. The key changes to the guidance include:

(a) The "Freeze" level will be the straightline of the FY 2010 S-Approved level (formerly the "Constrained" level).

(b) The "Mission Request" level will be the mission expanded request (formerly the "Preferred" level).

(c) Control levels (pre-set funding levels) will be incorporated into the "Freeze" table by Operating Unit by Account, and funding for certain centrally-allocated activities and accounts will be locked into both the "Freeze" and "Mission Request" tables.

(d) Cross-cutting Activities Table is no longer required.

(e) Cross-Cutting Program Support (Objective 6) will not be broken

out as part of either the "Freeze" or "Mission Request" levels at
this time.

(f) Performance Indicators will be required to justify requests for
significant increases over the "Freeze" level. See Paragraph 18 for
more details.

(g) The USAID-Managed Resources Table is no longer required.

¶53. All key documents, including budget levels, templates, points of
contact and additional information resources necessary for completing
FA requests are available through the FA link on the MSP help page.

¶54. Resource Tables: Operating Units will develop two FA resource
request tables for their FY 2011 submissions. The first table, the
"Freeze" table, cannot exceed the FY 2010 S-Approved level for that
mission. The second table, the "Mission Request" should correspond
more closely to FA needs and is not limited to the "Freeze" level.
Account controls will be incorporated into the "Freeze" table but
there are no account controls in the "Mission Request" table, except
as noted below. Control numbers for certain centrally-allocated
activities and accounts will be locked into both the "Freeze" and
"Mission Request" tables. Operating Units are encouraged to submit
reasonable requests that expand successful programs or fund new
programs where significant funding constraints have existed.
Information on earmarks, centrally-allocated activities and accounts,
and Presidential Initiatives are available through the FA link on the
MSP help page.

¶55. While FA requests included in MSPs serve as the foundation for
the FY 2011 foreign assistance request process, there is no guarantee
that Operating Units will receive funding at either the Freeze or
Mission Request levels, or that the approved budget distributions
will match MSP submissions.

¶56. Although the MSP application allows Operating Units to request
TI funding, as a rule Operating Units should not request funding from
this account. For guidance on other restricted accounts and
activities, see the Freeze Request and Mission Request paragraphs
below.

¶57. Freeze Request Table: The Freeze request total must maintain
funding at the 2010 S-Approved Level by Operating Unit. In the
Freeze request, Operating Units should distribute the total Freeze
request level across accounts, and then allocate those account
amounts down to the area level (element for IIP). Note that, except
as specified below, there are no control levels on specific accounts.
 Operating Units may generally make adjustments within and between
Program Area, (Program Element for the Investing in People
Objective), and account levels, provided that the total amount
requested for the mission does not exceed its total control level.
Funding levels for the following centrally-allocated activities and
accounts will be pre-loaded and locked into the Freeze Table:

-- Non-Emergency Food Aid (P.L. 480)
-- HIV/AIDS (all accounts)
-- Malaria

¶58. Mission Request Table: The Mission Request table can be used to
request funding for FY 2011 above the total Freeze level, either to
expand successful programs or fund new programs where significant
funding constraints exist. Operating Units should be reasonable in
their requests. In reviewing these requests, F reviewers in
Washington will be particularly interested in determining how past
performance informs requests for changes in resource levels.
Significant increases must be justified using performance indicators
(see Paragraph 18). Funding for the following centrally-allocated
activities and accounts will be pre-loaded and locked into the
Mission Request Table:

-- Non-Emergency Food Aid (P.L. 480)
-- HIV/AIDS (all accounts)
-- Malaria

¶59. Operating Units are also encouraged at a minimum to adhere to
the Freeze levels for the following activities that were funded in FY
2010 due to the likelihood that these items will be earmarked or
centrally-allocated.

-- Export Control and Border Security Assistance (NADR account)
-- Anti-Terrorism Assistance (NADR account)
-- Terrorist Interdiction Program (NADR account)
-- Counterterrorism Financing (NADR account)
-- Family Planning and Reproductive Health
-- Polio (the Maternal and Child Health element must at a minimum
cover Polio)
-- Tuberculosis

¶60. While Missions are expected to adhere to the pre-loaded and
locked Freeze and Request levels, they can comment on the levels
being too high or two low and the probable result/impact of these
levels.

¶61. Foreign Assistance Priorities Narratives: Ongoing Foreign
Assistance reforms aim to strengthen accountability for the
performance and strategic impact of the Foreign Assistance budget.
While we can expect many activities to produce important short-term
results, it is also critical to demonstrate that Foreign Assistance
contributes to strategic long-term progress - so that recipients are
increasingly able to assume responsibility for meeting their own
needs, are able to act responsibly in the international system, and
are decreasingly dependent on U.S. and other external assistance over
time. It is recognized that this strategic progress requires
sustained effort by both donors and recipients, and is not easily
measured within a one-year budget planning cycle.

¶62. As one step toward improving accountability for program
performance, each Mission is required to provide a narrative
explaining the strategic basis for its FY 2011 Foreign Assistance
priorities. An example of an FA priorities narrative will be
available on the FA link on the MSP help page. Narratives should
include the following:

(a) Summarize the Mission's core strategic goals for its Foreign
Assistance programs (recognizing that the scope of Foreign Assistance
goals may be narrower than the scope of overall Mission foreign
policy goals);

(b) Describe, justify, and prioritize the specific proposals for
additional resources shown in the Mission Request table (i.e.,
program area and IIP element level proposals that exceed the levels
shown in the Freeze table), linking those proposals to the core
strategic goals summarized in the previous section;

(c) Describe any cross-cutting strategic integration among different
Foreign Assistance programs, and how those programs may be
mutually-reinforcing in the context of the Mission's overall
strategic goals;

(d) Describe how proposed Foreign Assistance programs and other U.S.
foreign policy tools (e.g., diplomatic interventions or military
operations) may be mutually-reinforcing;

(e) Cite previous program performance (which may be drawn from the

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Budget and Performance Analysis (BPA) sections described below) or
other relevant data that demonstrate why proposed additional
resources can be expected to achieve the desired strategic results;

(f) Identify risk factors that may significantly affect expected
program performance;

(g) Indicate if there are significant impacts on Operating Expenses
requests;

(h) Where applicable, explain the extent to which earmarked or
centrally-allocated funds (particularly in the health Elements) limit
the ability to sufficiently budget for other ongoing and important
programs in the Freeze request and Mission Request.

¶63. Four other general principles apply when writing FA Priorities Narratives:

(a) Priorities must be specifically linked to relevant program areas or IIP program elements within the five objectives of the Standard Program Structure for Foreign Assistance (Peace and Security, Governing Justly and Democratically, Investing in People, Economic Growth, and Humanitarian Assistance).

(b) Narratives should incorporate relevant information about assistance being provided by USG agencies other than State and USAID (including the MCC), and information about any assistance being provided by other multilateral or bilateral donors that is expected to significantly affect program performance.

(c) Operating Units that receive funding from regional or other programs should describe in their foreign assistance narrative how those funds will be used and what performance results will be achieved with them.

(d) MSP narratives should address how Foreign Assistance funds are being used to support partner country priorities as reflected in Poverty Reduction Strategy Papers (PRSPs) or other country development plans, foster local ownership of the program/process, and build capacity of country systems.

¶64. Note: Where Missions have an approved Country Assistance Strategy (CAS), the MSP should discuss how the CAS supports the MSP. Missions with USAID programs but without an approved CAS should briefly discuss how the USAID strategy supports and is consistent with the MSP. If the USAID program is not covered by an active and approved USAID strategy, it should be stated. This will aid in scheduling succeeding CAS countries and identifying USAID programs that may need an interim USAID strategy pending a CAS per a recent USAID Notice.

¶65. Budget and Performance Analysis: As a continuation of the FY 2010 Congressional Budget Justification requirement from OMB for foreign assistance funds, Operating Units are also required to conduct a Budget and Performance Analysis for any increase from the Freeze to the Mission Request level that exceeds 10% and $1 million at the program area or IIP element level. A BPA is only required for increases that meet this threshold. A BPA consists of i) a brief explanation (one paragraph) of the impact the proposed increase would be expected to have on the Mission's highest level strategic goals; and ii) selection of a performance indicator that will best measure program performance against those strategic objectives. Each BPA should be linked to the Mission's FA Priorities Narrative (described above). For Operating Units with multiple increases exceeding these parameters, the number of BPAs required is capped at a maximum of five. Operating Units with more than five increases above 10% and $1 million should conduct BPAs on the five largest increases.

¶66. A template for representative indicators and narratives can be found on the MSP home page. This template includes detailed guidance with examples on how to conduct a BPA. The table requires actual performance data from FY 2008 and targets for FY 2009-11.

¶67. Where appropriate, Operating Units are encouraged to use an FA performance indicator for both a Goal Paper and for a BPA, though it is not required. However, if an Operating Unit chooses to use an FA performance indicator for both a Goal Paper and a BPA, the Operating Unit will need to fill out the information in both the MSP system and the FA template if they are using the same indicator in both locations.

¶68. Goal Papers and Foreign Assistance: Please see the discussion of Goal Papers in Paragraph 18 of the guidance.

¶69. Questions about foreign assistance should be directed to State or USAID regional bureau planning/program offices as appropriate. Questions related specifically to the guidance above should be directed to 2011FABudget@state.gov. A list of State, USAID, and F contacts is available via the FA link on the MSP Help page.
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